TECHNICAL COMPLIANCE ASSESSMENT
PROCESS NO. 2

■ **Description**

The purpose of this process is to determine if a proposed technology product, application or solution is in compliance with an existing IT enterprise architecture standard, and to assess the need to update or modify an existing technology standard on a scheduled (annually or biannually) basis.

■ **Goal**

Assess compliance of proposed IT products, applications and solutions with existing IT enterprise architecture, and review existing technology standards periodically to determine if revisions/updates are required.

■ **Requests to be Reviewed by the Architecture Oversight Committee**

➢ Architecture Oversight Committee review is required for all technology products, applications or solutions requiring more than 1,000 person (total of state employee, vendor, etc.) hours to install/implement, and/or having a total life cycle cost (acquisition, implementation, maintenance, ongoing operations) of more than $50,000.

➢ Architecture Oversight Committee review is required for smaller technology products, applications or solutions which may impact existing enterprise standards or initiatives of South Carolina State government (e.g., a standard naming convention for name and address). Such standards and initiatives will be identified and posted on the IT Architecture Web Site by the CIO.

➢ Architecture Oversight Committee review is required for all existing technology standards, on a periodic (usually annually or biannually) basis, to determine if revisions/updates are required.

(Note: Each request will be assigned a unique identifier for tracking purposes.)

■ **Triggers**

➢ Requested by State Agencies
➢ Federal/State Mandates
➢ Scheduled Reviews
➢ New Technology Products/Applications
➢ Technology Projects
➢ Industry Best Practices
➢ CIO IT Planning

■ **Sources of Input to Architecture Oversight Committee**

➢ State Technology Architect
➢ Agency Representatives
➢ Domain Subcommittees

■ **How Request Submitted**

Requests are submitted to the CIO Staff using ITEA Form #1 and should include at least the following information:

➢ Basic Information
➢ Description of Technology/Standard to be Assessed
➢ Purpose, Priority and Constraints/Mandates for Request
➢ Alignment with State's Business Drivers (Business Alignment Scorecard)
➢ Financial Impact
➢ Migration Considerations
➢ Impact on Other Domains
➢ Priority/Date Required

■ **Roles and Responsibilities**

➢ CIO Support Staff

– Review request for completeness and alignment with State's Business Drivers
– Compare to South Carolina baseline technology architecture to document whether a request is compliant or agency specific (forward request to IT Planning for further action if appropriate - an example would include a request to upgrade to the newest version of an approved architecture product)
– Obtain information from Gartner, Meta and other research organizations as appropriate
– Submit information to Domain Subcommittee and obtain additional information, if necessary
– Organize information packets for review by Architecture Oversight Committee to include:
  – Request
  – Business Alignment Scorecard
  – Comparison with State Technology Baseline
  – Research
  – Financial Impact
  – Architecture Scorecard
  – Architecture Roadmap
– Develop and post agenda for Architecture Oversight Committee meetings

- Document outcome of the technical compliance process and establish an architecture review schedule
- Notify appropriate parties, including originator of the request, of the recommendations of the Domain Subcommittee and the outcome of the technical compliance process
- Maintain IT Architecture Web Site to provide a status of requests throughout the technical compliance assessment process

➢ Domain Subcommittee - Primary

- Determine scope of request and assess whether the technology architecture being proposed is in compliance with the enterprise technology standards, or if revisions/updates to existing technology standards are appropriate
- Evaluate request using Architecture Scorecard
- Complete the Architecture Roadmap
- Submit recommendations to Architecture Oversight Committee
- Present recommendations and dissenting opinions to the Architecture Oversight Committee

➢ Domain Subcommittee(s) - Secondary

- Determine scope of request and ensure integration/compatibility across domains
- Provide input to primary Domain Subcommittee

➢ State Agency/Requestor

- In instances where the Domain Subcommittee is recommending to the Architecture Oversight Committee that a request from an agency be denied, the agency shall be allowed the opportunity to make a short presentation (maximum of ten (10) minutes) at the Architecture Oversight Committee meeting to explain the need for the requested item and to answer questions.

➢ Architecture Oversight Committee

- Render technical compliance decision (approve/reject)
- Request clarification or additional information from the primary Domain Subcommittee

■ **Tools**

➢ ITEA Form #1
➢ Architecture Scorecard (to be developed)
➢ Business Alignment Scorecard (to be developed)

■ **Approval Parameters**

➢ Sixty Seventy (67%) percent of Architecture Oversight Committee must be present to request a vote to approve/reject a request (quorum).
➢ When a quorum is present, fifty-one (51%) of the members of the Architecture Oversight Committee in attendance must be in agreement to approve/reject a request.
➢ Members of the Architecture Oversight Committee, or their designated alternate, must be present to vote - absentee voting and stand-ins are not allowed.

■ **Timeframe for Conducting Assessment of Technical Compliance Requests**

➢ Upon receipt of a request, the CIO Support Staff will have four (4) business days to conduct initial research and provide information to the primary Domain Subcommittee.
➢ Upon completion of work by primary Domain Subcommittee, the CIO Support Staff will develop information packets and forward to members of Architecture Oversight Committee at least seven (7) business days in advance of the Architecture Oversight Committee meeting.
➢ The CIO Support Staff will post agenda (and supporting documentation) to IT Architecture Web Site at least seven (7) days in advance of the Architecture Oversight Committee meeting.
➢ Review of requests, domain subcommittee recommendations, presentations, discussions, etc. will be limited to one (1) hour unless additional time is approved in advance by the Architecture Oversight Committee.
➢ The Architecture Oversight Committee will meet on a monthly basis.

Technical Compliance Assessment Process